



Regional Acquisition and Assistance Office

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Closing Time: 1600hrs [Pretoria time]
Questions Due: January 7, 2011; 1600hrs [Pretoria time]

**Subject: Request for Applications (RFA) No. 674-11-00004
HIV Prevention with Youth and Adults Program in Lesotho**

Ladies and Gentlemen:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Southern Africa, is seeking applications from organizations that are interested in designing, executing and coordinating highly innovative, state-of-the art and results-driven HIV prevention initiatives that target youth and adults in Lesotho. The strategic objective of this five-year HIV Prevention with Youth and Adults Program is to increase the adoption of protective behaviors with a focus on safer sexual behaviors, and supportive social norms among adults and youth in Lesotho.

The proposed program will support primarily multi-level, multi-channel social and behavior change communication, with particular attention to the prevention of the sexual transmission of HIV through partner reduction, the delay of sexual activity for youth, and condom promotion and distribution. The expected results under this five-year award include: 1) the capacity of Basotho institutions measurably strengthened to lead, sustain, and harmonize the HIV prevention response and deliver high quality HIV prevention services to scale; 2) communities measurably contribute to the adaptation of social and cultural norms, attitudes, and values that reduce vulnerability to HIV; and 3) Basotho youth and adults measurably improve their ability and motivation to change their behaviors through increased knowledge, risk perception, skills, and access to services. Section I - Funding Opportunity Description of this RFA contains the program details.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the award program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the Agreement.

This RFA is being issued and consists of this cover letter and the following:

1. Section I, Funding Opportunity Description;
2. Section II, Award Information;
3. Section III, Eligibility Information;
4. Section IV, Application and Submission Information;
5. Section V, Application Review Information;
6. Section VI, Award and Administration Information;
7. Section VII, Agency Contacts;
8. Section VIII, Other Information; and
9. Attachments.

Subject to the availability of funds, USAID intends to provide approximately \$17 million to be allocated over the 5-year period. USAID anticipates awarding one cooperative agreement as a result of this solicitation. USAID reserves the right to fund any or none of the applications submitted.

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter pursuant to the instructions contained in the RFA. Any questions concerning this RFA must be submitted in writing **via email** to Hossana Agedew at hagedew@usaid.gov and AgedewH@bw.cdc.gov and Leona Sasinkova at lsasinkova@usaid.gov on or before the deadline for receipt of questions stated on the cover letter of this RFA.

If it is determined that the answers to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a "Questions and Answers" document, and/or if needed, an amendment to the RFA, will be issued.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes, and in separate electronic attachments. *Award will be made to the responsible applicant whose application offers the greatest value to the U.S. Government.*

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Sincerely,

Leona Sasinkova
Agreement Officer

TABLE OF CONTENTS

	<u>Page</u>
Table of Contents	
<i>ACRONYMS</i>	4
<i>SECTION I - FUNDING OPPORTUNITY DESCRIPTION</i>	5
<i>SECTION II – AWARD INFORMATION</i>	22
<i>SECTION III – ELIGIBILITY INFORMATION</i>	23
<i>SECTION IV – APPLICATION AND SUBMISSION INFORMATION</i>	24
<i>SECTION V – APPLICATION REVIEW INFORMATION</i>	38
<i>SECTION VI - AWARD AND ADMINISTRATION INFORMATION</i>	43
<i>SECTION VII – AGENCY CONTACTS</i>	48
<i>SECTION VIII – OTHER INFORMATION</i>	49
<i>ATTACHMENTS</i>	59

ACRONYMS

AIDS	Acquired Immuno-Deficiency Syndrome
AOTR	Agreement Officer's Technical Representative
APR & S/APR	Annual/Semi-Annual Performance Reports
ART	Anti-Retroviral Therapy
CBO	Community-Based Organization
CCAC	Community Council AIDS Committee
COP	Chief of Party
DAC	District AIDS Committee
FBO	Faith-Based Organization
FP	Family Planning
FY	Fiscal year
GBV	Gender-Based Violence
GFATM	Global Fund for AIDS, Tuberculosis, and Malaria
GKOL	Government of the Kingdom of Lesotho
HIV	Human Immunodeficiency Virus
HTC	HIV Counseling and Testing
LDHS	Lesotho Demographic and Health Survey
LOE	Level of Effort
MARP	Most-At- Risk Population
MCP	Multiple Concurrent Partnerships
M&E	Monitoring and Evaluation
MMC	Medical Male Circumcision
MOA	Memorandum of Agreement
MOGYSF	Ministry of Gender and Youth, Sports and Recreation
MOHSW	Ministry of Health and Social Welfare
MOLGC	Ministry of Local Government and Chieftainship
MOU	Memorandum Of Understanding
MSM	Men who have Sex with Men
NAC	National AIDS Commission
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Rate
NSP	National Strategic Plan
OGAC	Office of Global AIDS Coordinator
OVC	Orphans and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
PLHIV	People Living with HIV
PMTCT	Prevention of Mother-To-Child transmission
PVO	Private Voluntary Organization
RFA	Request For Applications
RHAP	The Regional AIDS/AIDS Program
RH/FP	Reproductive Health/ Family Planning
SBCC	Social and Behavior Change Communication
SOW	Scope of Work
SRH	Sexual and Reproductive Health
STI	Sexually Transmitted Infection
TB	Tuberculosis
USAID	United States Agency for International Development
USG	United States Government
VCT	Voluntary Counseling and Testing
WHO	World Health Organization

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

Pursuant to Automated Directive System (“ADS”) 303.3.5.2.a, this section includes (1) a general description of the proposed program, (2) a statement identifying the authorizing legislation, (3) program eligibility requirements and (4) a discussion of how the award will be administered.

1. GENERAL DESCRIPTION OF FUNDING OPPORTUNITY

The description of the proposed program is set forth below, covering A. Background; B. Objectives; and C. Program Description.

A. Background

1. Introduction

The Presidents Emergency Plan for AIDS Relief (PEPFAR)/Lesotho has identified a need for an HIV prevention program that addresses the main driver of Lesotho’s epidemic with a focus on the sexual transmission of HIV through multiple and concurrent partnering. The objectives and results under this project will contribute to the Government of the Kingdom of Lesotho’s (GKOL) goal of prevention as a national priority for addressing the Human Immunodeficiency Virus (HIV) epidemic in Lesotho.

2. HIV/AIDS in Lesotho

Epidemic Context: Lesotho is a mountainous country with a population of 2.2 million that faces one of the most serious HIV/AIDS epidemics in the world. The 2004 Lesotho Demographic and Health Survey (LDHS) found overall HIV prevalence of 23% among adults aged 15-49. Life expectancy has fallen to 40 years of age, and over 39% of the population is under the age of 15. A new 2009 LDHS will soon provide up-to-date data on HIV prevalence. However, the number of AIDS-related deaths has dropped sharply since its peak in 2005 as antiretroviral therapy (ART) has increased in coverage and prolonged the lives of people living with HIV, making prevalence data increasingly difficult to interpret.

The 2004 LDHS data indicate a rapid rise in HIV prevalence among young people. By age 20-24, about 25% of women are infected; prevalence increases to 40% for the age cohort 25-29 and remains at around this level for women throughout their thirties. Male prevalence lags behind female prevalence by about five years, but similarly reaches about 40% among men aged 30-45. With such high average levels of prevalence nationally, the pool of at-risk individuals is likely at or near saturation among adult men and women aged 25-44. The epidemic is almost uniformly severe throughout the country, with prevalence above 15% in all districts and all but the youngest age-groups.

Incidence is estimated to have fallen by half since its peak in 1995, but a high number of infections still occur each year. Heterosexual sex is the predominant HIV transmission pathway. The GKOL and UNAIDS *Lesotho Analysis of Prevention Response and Modes of Transmission Study, 2009* (referred to from this point on as the “MOT Study”) provides a comprehensive overview of epidemiological data and the current status of prevention programming. Based on application of the UNAIDS incidence model, the MOT study concludes that both multiple partner behaviors and single (discordant) partner relationships contribute substantially to annual incidence. (Each is estimated to contribute roughly 30-60% of new infections, with wide-ranging estimates resulting from key data gaps). The analysis suggests that commercial sex and men who have sex with men (MSM) activity

each contribute about 3-4% of all new infections, and medical transmission contributes a small number of new infections. Injecting drug use is not a major problem in Lesotho.

Major Epidemic Drivers: The MOT study concludes that multiple sexual relationships before and during marriage, in combination with low levels of male circumcision, and low and inconsistent condom use, are the major factors driving Lesotho's hyper endemic HIV situation.

Sexual concurrency, often in the form of long-term secondary partners, is exceptionally high in Lesotho. Overall, prevalence of multiple and concurrent partnerships (MCP) is estimated at 24%, compared to 10% in the region; in some studies up to 36% of individuals report MCP. The number of sexual partners is a strong predictor of HIV sero-status. Although frequency of MCP appears to be declining, multiple data sources confirm that such partnerships remain at a high level, and are legitimized through deep-rooted traditions of polygamy. In Basotho culture, strong taboos also exist around open discussion of sexuality, and men are dominant decision-makers in the sexual domain. Based on the age profile of the epidemic, intergenerational sex also appears to be occurring, and is likely closely linked with concurrent partnerships.

A major factor contributing to MCP is labor migration, which plays a substantive social and economic role in the lives of most Basotho. Remittances accounted for 27% of the GDP in 2008. Over 255,000 individuals have emigrated, mostly for work and mainly to South Africa. This is almost one out of every five Basotho over the age of 15. Many working emigrants find employment in South Africa in mines, farms, or industry. Since housing arrangements are usually single sex dwellings, these emigrants often engage in sexual partnerships with commercial sex workers or long term non-marital partners. South African labor law requires migrants to return to their homes for two weeks each year, and thus many Basotho bring HIV back to their regular partners in Lesotho.

The other half of labor migration is the partner left behind who, in Lesotho, is most often female. The 2004 LDHS indicates that 37% of household in Lesotho are women-headed, and in part this is attributed to labor migration. Research from South Africa indicates that migration increases risk to both partners, because women as well as men become infected with HIV through sexual relationships outside of their primary one.

Labor migration patterns are changing in Lesotho and there is an increase in domestic migration among female who work primarily in the textile industry. Similar to men to migrate out of the country, domestic migration splits families and increases the possibility of sexual risk taking and concurrent sexual partnerships.

In the 2004 LDHS, 48% of men reported being circumcised. However, self-reported circumcision status does not appear to have a strong protective effect, most likely because traditional male circumcision as performed in Lesotho often involves a symbolic cut rather than complete removal of the foreskin. Only the 16% of men circumcised at health facilities can be considered to be fully protected by male circumcision. Thus lack of medical male circumcision (MMC) and incomplete circumcision are factors likely contributing to the epidemic.

UNAIDS estimates that 270,000 Basotho are people living with HIV (PLHIV). The MOT Study estimates that one-third of all couples are HIV-infected, meaning that one or both of the partners has HIV. Of these, 40% are discordant couples, or only one of the partners is HIV infected, and represents an opportunity to stem new infections among regular partners.

Most Basotho men and women engaging in risky sex in the context of a high background level of HIV risk do not protect themselves by using condoms. Moderate although increasing levels of condom use during last higher risk sex is reported by both men and women. In the 2004 LDHS, these condom use rates for men were 49%, rising to 64% in 2009 as per the preliminary 2009 LDHS. For women, these figures are 42% and 65%. The 2009 LDHS indicates that condom use by individuals with two or more partners is still relatively low; at 38% for women and 51% for men.

Comprehensive knowledge of HIV transmission and prevention is low; only 24% of women and 19% of men can correctly identify three modes of transmission and two myths regarding HIV/AIDS, although preliminary findings from the 2009 LDHS suggest that there has been improvement in this area. For example, 71% of women and 60% of men believe that using condoms and limiting sexual intercourse to one infected partner can prevent HIV infection. Age of sexual debut is similar to other countries in the region.

Sexual violence targeting women is prevalent in Lesotho and also increases vulnerability to HIV infection. A MEASURE study conducted in 2004 indicated that 61% of women reported having experienced sexual violence at some point in their life, with 40% reporting coerced sex, 50% assault, and an incredible 22% rape. A household survey conducted in 2006 in two urban areas of Lesotho among sexually active women ages 18 – 35 had similar findings. Twenty-five percent of respondents reported ever being physically forced to have sex, and 13% reported attempted forced sex. The most common perpetrators of actual and attempted forced sex were boyfriends, at 66% and 44%, respectively.

Within several countries in southern Africa, substance abuse, especially cannabis use and alcohol abuse are correlated with risky sexual behaviors and HIV transmission. However, the role of cannabis and alcohol use/abuse in Lesotho is not well documented, understood, nor addressed. The 2004 LDHS indicates that the HIV prevalence rate among women and men who reported ever drinking alcohol is 43% and 27%, respectively.

The UNGASS country report for Lesotho, 2008 – 2009, highlights several accomplishments in HIV prevention in Lesotho. These include the expansion of social and behavior change communications activities and the launching of a National Behavior Change Communications Strategy in 2009. The coverage of prevention of mother-to-child transmission services increased from 6% in 2005 to 71% in 2009. Over 780,000 Basotho have been tested for HIV by the end of 2009, and during a five year period up to the end of 2009, over 32 million condoms were distributed throughout the country.

3. The National Response, GKOL and USG Policy Frameworks and Key Partnerships

Recently, prevention has emerged as a priority for the GKOL, PEPFAR, the Global Fund for the Fight Against AIDS, Tuberculosis, and Malaria (GFATM), and other donors. The HIV Prevention with Youth and Adults Program's overall strategic approach is rooted in a number of the frameworks and policy documents developed by the GKOL and the United States Government (USG), and will contribute to the goals expressed in each:

- **Lesotho National HIV and AIDS Strategic Plan, 2006 – 2011:** The National Strategic Plan (NSP), which was revised in 2009, provides the framework for the national HIV/AIDS response. The strategic focus areas addressed under the NSP include prevention, treatment, care, and support, impact mitigation, and management and coordination. At the impact level, the strategy aims to reduce the number of new HIV infections by 50% or from 22,000 in 2007 to less than 11,000 in 2011. Priority prevention interventions include social and behavior change communications, male circumcision, prevention of mother-to-child transmissions, condoms, linked HIV testing and counseling, and HIV prevention in the workplace.
- **The National Behavior Change Communications Strategy:** in 2008, the GKOL, the Ministry of Health and Social Welfare (MOHSW), and the National AIDS Commission (NAC) approved this strategy to guide communications addressing prevention, care and support, treatment, and capacity building. Within the plan are six overall strategies to: stimulate dialogue about sex and sexuality and other sensitive topics; promote risk reduction among couples and singles; teach life skills to children and youth; reach out to vulnerable groups to prevent new HIV infections; address gender and community norms; and target supporting audiences and integrate BCC into existing programs.

The Strategy identifies four key focus groups for BCC in the prevention of HIV and includes secondary audiences:

- Youth 10-24 yrs
 - Men and women of reproductive age (24-49 yrs)
 - Vulnerable groups (migrants, herd boys, sex workers, prisoners, MSM)
 - People living with HIV and AIDS
- The forthcoming **National HIV Prevention Strategy**: NAC is currently developing a three-year National HIV Prevention Strategy and costed operational plan for Lesotho. The strategy will provide a framework for the coordinated, multi-sectoral implementation of behavioral, biomedical, and structural initiatives. These will address the prevention needs of the general population and at-risk populations, including migratory populations, young people, sex workers, and MSM.
 - The **Five Year PEPFAR Strategy, 2009 -2013**: In 2008, the President of the United States signed into law H.R. 5501, the Tom Lantos and Henry J. Hyde United States Global Leadership against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008. This legislation expands the USG's commitment to the President's Emergency Plan for AIDS Relief for five additional years, from 2009 through 2013. Over the next five years, the USG and host country governments will work to achieve these five overarching goals:
 - Transition from an emergency response to promotion of sustainable country programs.
 - Strengthen partner government capacity to lead the response to this epidemic and other health demands.
 - Expand prevention, care, and treatment in concentrated and generalized epidemics.
 - Integrate and coordinate HIV/AIDS programs with broader global health and development programs to maximize impact on health systems.
 - Invest in innovation and operations research to evaluate impact, improve service delivery and maximize outcomes.

HIV prevention is a major PEPFAR priority during this five year time period. Emphasis is on mapping and documenting prevention needs, the scale of up of high-impact, evidence based combination prevention approaches, mutually reinforcing prevention interventions targeting populations in which new infections are concentrated, and linking prevention messaging to treatment and care to maximize impact in reaching HIV- infected people. Gender is another strategic priority; PEPFAR-supported programs must integrate thoughtful and evidence-based responses into their initiatives. Applicants can access the Five Year PEPFAR Strategy on www.PEPFAR.gov.

- The **PEPFAR Partnership Framework**: In support of the Five Year PEPFAR Strategy, the USG will continue work initiated under PEPFAR, but will pursue partnership frameworks under which PEPFAR resources and host government commitments will be codified to increase the partnership with countries dedicated to fighting national HIV epidemics. Through these partnership frameworks, host nations will strengthen their collaboration with the USG. In Lesotho, the two governments signed the Partnership Framework on August 20, 2009. Recognizing the critical importance of reducing HIV transmission, the Partnership Framework's first goal is **"HIV incidence in Lesotho is reduced by 35 percent by 2014."** Towards this goal, the Partnership Framework aims to reach 80% of the population with comprehensive prevention interventions, and commits the USG to increasing funding and technical support for evidence-based, congruent prevention activities linked to services. The proposed new program will support this USG commitment, while also contributing to the global goal for the U.S. President's Emergency Plan for AIDS Relief of averting 12 million new HIV infections by 2013.

During the life of the Program, the HIV Prevention with Youth and Adults Program is expected to pursue and enhance partnerships with key GKOL entities. These key partnerships include:

- **The Lesotho National AIDS Commission:** The National AIDS Commission (NAC) is a statutory body established in terms of Act No.8 of 2005 of Parliament of the Government of Lesotho to be responsible for the development and coordination of strategies and programs for controlling and combating HIV and AIDS in Lesotho. It facilitates the implementation, monitoring, and evaluation of programs, and is responsible for the provision of policy guidance to implementing structures. Among other tasks, NACC oversees the joint reviews of the NSP, the roll out of the Sesotho versions of the NSP at the district and community levels, the management of national monitoring and evaluation (M&E) system, and provides technical support to implementing partners.
- **The Ministry of Health and Social Welfare:** The MOHSW is responsible for the provision of basic health services that are of good quality, equitable, accessible, affordable, sustainable, and gender sensitive, meeting the needs of healthy communities. Responsibilities include the formulation of health related policies, the provision and oversight of hospital and preventive services, management systems within the health care sector, and building the capacity of health personnel.
- **The National AIDS Prevention and Control Program** is under the Division of Primary Health Care within the MOHSW. The program is structured into four units. The first unit oversees counseling and community based programs, which includes voluntary counseling and testing (VCT) and orphans and vulnerable children (OVC). The behavior change and communications unit focuses on social mobilization and advocacy. The clinical care unit coordinates the management of opportunistic infections, tuberculosis (TB) and HIV, sexually transmitted infections (STIs), the prevention of mother-to-child transmission (PMTCT), and palliative care. The research and surveillance unit manages strategic information and evaluations.
- **Ministry of Local Government and Chieftainship:** The Ministry of Local Government and Chieftainship (MOLGC) oversees the GKOL initiative on health care decentralization under the Local Government Act (1997), and activities include the facilitation of the decentralized HIV/AIDS response under the NSP. The GKOL has established District Level AIDS Committees (DACs) in each of the ten districts and DAC members are composed from the public, private, and civil sectors. The districts are in the process of establishing Community Council AIDS Committees (CCACs) which are multi-sectorally constituted by CBOs, locally based public offices, and FBOs to coordinate implementation of HIV/AIDS interventions. The CCACs ensure stakeholder involvement in planning and implementation of interventions.
- **Other Key National and International Stakeholders:** Under the aegis of the GKOL, numerous stakeholders, including GFTAM, implementing partners, and donors, are purposefully coordinating HIV prevention efforts to create economies of scale, reduce duplication, and achieve maximum impact. The HIV Prevention with Youth and Adults Program is expected to work closely with these stakeholders and play a key role in coordination and planning fora.

4. PEPFAR and USAID Program Overview and HIV/AIDS in Lesotho

Lesotho is one of the countries supported under PEPFAR. Under the Emergency Plan, USAID and other USG agencies including Centers for Disease Control and Prevention (CDC), State, Peace Corps and Department of Defense within the US government are united under a common five year strategy, and common annual country operational plans, to expand and strengthen the scope of HIV/AIDS support to Lesotho. Both the strategy and the annual country operational plans are developed in collaboration with GKOL ministries, with non-governmental (NGO) and faith-based organizations, and with implementing partners. The country USG team is led by the US Ambassador to Lesotho.

The Emergency Plan has clear worldwide goals of ensuring prevention, care, and treatment services. In Lesotho, by November 2009, the PEPFAR program was supporting over 128 and 113 ART and PMTCT service delivery outlets, respectively. During the preceding six month period, 19,983 people received ART in these outlets, and over 7,305 women received antiretroviral prophylaxis for PMTCT in a PMTCT setting. 61,641 people were counseled and tested for HIV in 30 PEPFAR-supported hospitals, centers, and mobile clinics, and over 6,482 orphans and vulnerable children received PEPFAR-supported services.

5. Selected PEPFAR/Lesotho HIV Prevention Programs

The PEPFAR/Lesotho prevention portfolio currently has a small number of partners implementing prevention activities that are geographically scattered and relatively small scale. Current activities include: small grants for curriculum-based youth programming that emphasize abstinence-only approaches; an innovative multi-channel communications activity to address MCP through community dialogues linked to mass media messaging in selected districts; HIV testing and counseling (HTC) in five districts; condom promotion and distribution; preparatory activities for male circumcision; and small scale prevention activities implemented by the Peace Corps and the military. A new agreement with the Elizabeth Glaser Pediatric AIDS Foundation (EGPAF) to strengthen clinical HIV services also includes a small positive prevention component at both the facility and the community levels.

PEPFAR funding for sexual prevention has increased significantly with additional funding under the Partnership Framework for fiscal years (FY) 2008 and 2009. The increase in the prevention budget to \$6.2 million in FY2010 for sexual prevention, counseling and testing, and male circumcision, as well as the development of the proposed new program, represent an opportunity for the USG to move prevention forward in a more significant and strategic way.

Within the 2009 Partnership Framework, USG and Partners envisioned and committed to meet the following objectives and activities related to HIV prevention. These are in-line with the National Behavior Change Communications Strategy:

Objectives	PEPFAR Expected Contributions
1.1 80 percent of people aged 15-49 years are reached with comprehensive social and behaviour change interventions	<ul style="list-style-type: none"> Increased funding and technical support to GOL and civil society for comprehensive, evidence-based, congruent prevention messages linked to services Develop messages for different age groups and link to services Assist NAC and MOHSW to coordinate messages to ensure they are congruent across target groups
1.2 80 percent of most at risk populations are reached with HIV prevention programs	<ul style="list-style-type: none"> Develop strategic messages and services for high-risk groups (e.g. men/boys, married and stable couples, single people, migrants, women and girls, sex workers, miners, cross-border/transients, government and private sector employees, sexual assault survivors, adolescent mothers, mentally disabled, alcohol/drug abusers)
1.4. Increased access and availability of HTC services in all health facilities	<ul style="list-style-type: none"> Improve quality and reach of HTC services through training of additional counselors Provide mobile services, including HTC in hard to reach areas; counseling for discordant couples Provide prevention messaging for HIV infected clients and screening and referrals for TB/HIV services for all HIV-infected clients
1.5. Prevalence of Multiple Concurrent Partnerships (MCP) in the population aged 15-60 is reduced by 35 percent	<ul style="list-style-type: none"> Expand One Love campaign to have wider reach Develop additional evidence-based interventions aimed at reducing MCP

Objectives	PEPFAR Expected Contributions
1.6. 40 percent of males are circumcised in a clinical setting, and 50 percent of newborn males in a health facility are circumcised within 8 days after birth	<ul style="list-style-type: none"> Support infrastructure and training needs to scale up male circumcision campaign at 100 percent of hospitals including LDF facilities Assist MOHSW in developing a policy for male circumcision for newborns,
1.7. 100 percent of national supply and distribution of condoms is available by 2014	<ul style="list-style-type: none"> Scale-up social marketing of condoms TA assistance to MOHSW and NAC to develop condom distribution strategy and scale-up availability of free condoms in multiple outlets
4.3. The organizational capacity of civil society organizations (CSOs) is strengthened to improve the provision of quality HIV and AIDS services	<ul style="list-style-type: none"> Provide TA support to LCN and support the strengthening of up to 5 CSOs as umbrella organizations Assist CSOs to develop advocacy skills to lobby for quality, wide-spread un-based services for people infected and affected by HIV and AIDS

6. Other Donor-Funded HIV Prevention Activities in Lesotho

Other donor support for prevention activities includes the following:

- **The Global Fund Round 8 Phase I Grant**, which recently began implementation, budgets about \$4.5 million over two years for prevention. This includes about \$1.5 million for mass media; \$1.2 million for management of STIs; and \$0.95 million for testing and counseling. Smaller amounts are budgeted for community outreach, condom distribution, and male circumcision.
- **German Development Cooperation**, through its technical assistance agency (GTZ), is assisting the MoLGC to roll-out the Essential Services Package for HIV/AIDS through Community Councils, which includes a menu of grass-roots activities to change sexual behavior.
- **UNICEF** has developed a minimum package for HIV prevention programming for young people. UNICEF is working with the Ministry of Gender and Youth, Sports and Recreation (MOGYSR) and several Basotho youth-serving organizations to implement this package for out-of school youth in conjunction with MoGYSR youth resource centers. UNICEF local partners are also rolling out the package for in-school youth through after-school programs.
- **The British Department for International Development (DFID)** has been supporting mass media in Lesotho to address MCP, under the umbrella of Soul City's regional One-Love mass media campaign. DFID has also been supporting workplace prevention activities through the Apparel Lesotho Alliance to Fight AIDS (ALAFA).

B. Objectives

Under the Partnership Framework, the overall goal of the USG's support to Lesotho is to reduce HIV incidence by 35% by 2014. To support this goal, The HIV Prevention with Youth and Adults Program has the strategic objective of **increased adoption of protective behaviors, with a focus on safer sexual behaviors, and supportive social norms among adults and youth in Lesotho**. Under this strategic objective, the Program aims to achieve the following three program results:

Result #1: The capacity of Basotho institutions measurably strengthened to lead, sustain, and harmonize the HIV prevention response and deliver high quality HIV prevention services to scale

Result #2: Communities measurably contribute to the adaptation of social and cultural norms, attitudes, and values that reduce vulnerability to HIV

Result #3: Basotho youth and adults measurably improve their ability and motivation to change their behaviors through increased knowledge, risk perception, skills, and access to services

Strategies and approaches must be guided by the following cross-cutting strategic principles:

Building Local Partnership and Sustainability: The Program is expected to work in partnership with Basotho organizations and communities to strengthen the technical capacity of in-country partners to implement effective prevention interventions. Such partners may include NAC, government ministries, civil society, faith-based organizations (FBOs), the private sector, traditional leaders, etc. Importantly, over the life of the program, local partners should assume increased responsibility for technical leadership and program activities.

Emphasizing Behavioral, Biomedical, and Structural Relevance: The new prevention program should develop programmatic strategies and target resources based on relevant quantitative and qualitative data about the HIV/AIDS epidemic in Lesotho. This should include a sharp focus on behavioral drivers most salient to the epidemic, including multiple and concurrent partnerships and discordant partnerships and related social and cultural norms. It should further include a direction for harmonization of biomedical and structural efforts in HIV prevention including clinical based responses such as ART, PMTCT, FP/SRH and HCT.

Incorporating Best Practice and Innovative Approaches to Prevention: The activities should incorporate basic principles of high quality behavior change programming. Interventions should be data-driven and based on formative research and behavioral theory. To the extent feasible, activities should adapt and replicate evidence-based program models from similar settings. Behavior change activities should incorporate linked, multi-level interventions with systematic approaches to providing adequate “dose” and “intensity”. Emphasis should be on changing social norms as well as individual behaviors. While adherence to best and promising practices are likely to result in achieving behavior change, innovative and creative approaches must also be explored and evaluated to advance the HIV prevention response in Lesotho including the collection and dissemination of knowledge to appropriate audiences, such as decision makers, professionals, and civil society.

Addressing Gender Norms: Social and cultural norms about appropriate male and female behaviors, characteristics, and roles profoundly shape the epidemic in Lesotho. The rights and entitlements of women and girls have changed significantly within the legal system in Lesotho, but these have not yet influenced ongoing social and cultural practices regarding female roles in marriage and sexual relationships. Many women and girls, particularly in rural areas, are not yet able to make their own decisions in terms of how and when they participate in relationships with men. Lesotho, like other neighboring countries, continues to experience high rates of gender-related violence (GBV) and is undoubtedly, influenced by perceptions of women as of lower social status than men and duty bound to provide for husbands or partners in whatever way this is demanded.

Reducing HIV-Related Stigma and Discrimination: Strategies to reduce stigma and discrimination against PLHIV affecting decisions to test, seek treatment, and share one’s serostatus should be integrated across the range of proposed approaches. The most effective and sustainable responses to HIV/AIDS foster open dialogue and participation at the personal, community and policy making levels. Activities should incorporate an emphasis on strengthening involvement of PLHIV, and the organizations that represent them, in both advocacy and implementation—a proven strategy to confront stigma.

Creating a More Conducive Environment to Promote Reduce Social and cultural inhibitions around open discussion of sex and sexuality Research and formative studies have revealed that reticence between parents and children, teachers and learners, and partners to openly discuss sex and sexuality is an entrenched part of Basotho culture. While this is changing, for some groups, such as adolescents and young adults, the ongoing difficulty of open discussion about sexual relationships increases vulnerability to HIV infection, STIs, and unplanned pregnancies.

Linking, Coordinating, and Leveraging Government and Other Development Partner

Programs: This prevention program should be viewed in the context of other USAID, PEPFAR, GFATM, United Nations, World Bank, European Union other donor HIV or health interventions in Lesotho. Synergies between programs, including those with geographic and/or programmatic overlap, should be maximized to gain efficiencies and to promote HIV prevention across a range of sectors. Strong referral systems and harmonization between prevention and social and health services such as HIV counseling and testing, medical male circumcision (infant or adult once approved), FP/SRH and HIV care and treatment should also be established.

Conducting Rigorous Evaluation: To document success and lessons learned, rigorous evaluation will need to take place. The evaluation could be linked with national- and district-level data collection to measure behavior change as well as impact, if feasible. Basic output data will not be sufficient to measure or determine success of a program, and as such, process, outcome and if feasible, impact data, should be collected.

Combination Prevention: The proposed program will primarily support multi-level, multi-channel social and behavior change communication, with particular attention to partner reduction, prevention for PLHIV and discordant couples, delaying initiation of sexual activity for young people and condom promotion and distribution. However, these activities should be situated within the context of a broader combination prevention package, including strong linkages to HIV counseling and testing; male circumcision, when approved, and referral to other HIV services.

The winning Applicant is expected to develop a program name for the HIV Prevention with Youth and Adults Program that captures the essential elements of these goals and objectives.

C. Program Description

1. Overall Approach

The HIV Prevention with Youth and Adults Program will work closely with the GKOL, Basotho organizations, and other stakeholders to design, execute, and coordinate highly innovative, state-of-the-art, and results-driven HIV prevention initiatives that target youth and adults. The proposed program will support primarily multi-level, multi-channel social and behavior change communication, with particular attention to the prevention of the sexual transmission of HIV through partner reduction, the delay of sexual activity for youth, and condom promotion and distribution. Other activities will include community-based HIV prevention for PLHIV and discordant couples.

All program activities should be situated within the context of a broader combination prevention package, with strong linkages to a range of behavioral, biomedical, and structural services and activities. Although the main focus of this program is the **reduction of HIV infection through sexual transmission**, program initiatives must be incorporated into a wider age-, audience-, and context-appropriate core package of services since there is rarely one single set of behaviors or services that can effectively influence a long-term population-wide reduction in HIV incidence.

Thus, the program should focus on a combination prevention framework, which is the appropriate mix of behavior, biomedical, and structural interventions as per the needs, culture, context and epidemiological profile of each targeted audience. Behavioral interventions aim to motivate behavior change within individuals, families, communities, and entire populations. These address the reduction of sexual transmission, HTC, and substance abuse. Biomedical interventions intend to decrease infectiousness or prevent infection. Interventions include male circumcision, condoms, STIs, PMTCT, prevention with positives, reproductive health and family planning (RH/FP) integration, and the prevention of medical transmission. Structural interventions change the context in which people live to reduce vulnerability or risk to HIV. Structural issues in Lesotho include gender, gender-based

violence (GBV), cultural and traditional practices that become risky within the context of HIV/AIDS, and stigma and discrimination.

Maximum effect can be achieved by purposeful and complementary programming, and the HIV Prevention with Youth and Adults program is expected to coordinate closely with GKOL, civil society and other donor- and USG-funded HIV/AIDS projects from project onset. Vulnerable populations must not be overlooked, which requires purposeful coordination.

Coordination with a full range of other partners working in HIV prevention can provide value-adding linkages to this program with complementary such as facility-based services, community engagement, adult male or infant circumcision, substance abuse, and gender norms including GBV. Thus, the intent of this program is to complement existing programs targeting Basotho youth and adults with a focus on expanding coverage and intensity.

2. Results Framework

Strategic Objective:

Increased adoption of protective behaviors, with a focus on safer sexual behaviors, and supportive social norms among adults and youth in Lesotho

Multiple and concurrent partnering, the key driver of the epidemic in Lesotho, is deeply-rooted in cultural traditions and social norms, but is nonetheless amenable to change. In countries with generalized epidemics where HIV prevalence has declined significantly, these declines have been strongly associated with a significant reduction in the proportion of men and women reporting more than one partner in the last year. To a lesser degree, these declines have also been associated with increases in the age at first sex and/or condom use. For the most part, declines in multiple partnerships appear to reflect a spontaneous response to increased perception of HIV risk. More systematic and focused behavior change efforts could thus potentially bring about an even greater reduction in MCP.

The proposed program will support a multifaceted, coordinated, and multi-year effort to mobilize all sectors of society to take action for HIV prevention. A major focus will be on helping communities confront the risks of HIV and reduce social tolerance of key behavioral drivers, especially concurrent sexual partnerships. The program will engage communities, civil society organizations, youth organizations and GKOL institutions and public services to develop locally appropriate and sustainable responses to the HIV epidemic.

The program will target youth and adults within the general population, as well as highly vulnerable sub-populations among youth and adults. In developing interventions under this program, priorities should be set for these populations, and clear strategies, tactics, and results for each of the following audiences should be developed. It is important to note that Basotho youth and adults share different lifestyles, values, and world views and as such, strategies and approaches should reflect this. Such approaches should address underlying structural issues, such as youth participation and involvement.

- *Adults within the general population and their sexual partners:* With such high prevalence among Basotho adults, community-based interventions need to take a comprehensive approach in addressing the needs of HIV-positive individuals as well as those who are HIV-negative or of unknown status. The range of sexual partners among Basotho adults includes the continuum of transactional and commercial sex, as well as marital, regular, and causal partners.

Although partner reduction remains of primary importance condom promotion, supply chain management, , and skills building including partner negotiation must be one priority for PLHIV, as well as for individuals who continue to engage in high-risk behaviors. In addressing adults, especially married couples, a further priority should be to raise awareness of the high prevalence of sero-discordance within stable partnerships. For couples, it will be important to promote HIV

testing, especially couples testing and counseling, mutual disclosure, and adoption and maintenance of a risk reduction plan, congruent with HIV status.

Workplace settings, traditional networks, and faith- and community-based organizations are among potential entry points for reaching adults and youth with quality interventions requiring multiple contacts. Lesotho already has strong existing models for adult prevention, such as workplace peer education developing the textile industry.

- *Youth within the general population:* Adolescence and early adulthood are critical windows of opportunity for HIV prevention in Lesotho. Although HIV prevalence peaks in adults aged 25 and 45, infection rates rise rapidly in later adolescence and young adulthood, especially among young women. Additionally, young people have special needs with respect to HIV prevention compared to adults; they are less likely to have comprehensive knowledge, skills to negotiate safer sex, and easy access to health services and condoms. In addition, youth tend to associate negative social meanings to condoms. The emphasis for youth should be on primary prevention, while recognizing that the small proportion of adolescents who are already infected will require special support.

The program will expand youth prevention, building on the common framework and minimum package guide on HIV programming for adolescents and young people developed by the MOGYSR with assistance from UNICEF. The package includes four main components: delivering correct and consistent information on HIV and AIDS; imparting relevant risk reduction and avoidance skills; establishing linkages to relevant services; and facilitating an enabling, protective and supportive environment for young people. The package also calls for the ethical and meaningful participation of young people in the planning, implementation, and monitoring and evaluation of interventions affecting them. To the extent feasible, the program should adapt standardized materials developed to support the common framework and closely coordinate activities with GFATM Round 8 support for youth activities. An in-school and out-of-school youth programs with age-appropriate messages embedded within a sexual and reproductive health framework should be considered as one method for reaching youth within the general population.

- *Mobile populations and their sexual partners:* The majority of mobile populations in Lesotho are migrant populations, the majority of whom translocate for work, and who are a very important feature of the Basotho economy and culture. Mobile populations include domestic and international migrants, and both the individual who travels and the one left behind have a tendency to engage in multiple sexual partnering. The range of sexual partnerships includes marital, regular, causal, transactional, and commercial sexual partners. As with the general adult population, HIV prevention issues include partner reduction, condom use, HTC, particularly among couples, and the adoption and maintenance of a risk reduction plan, congruent with HIV status.
- *Adults and youth infected with HIV:* Community-level positive prevention activities should be harmonized with those of EGPAF and its sub partner, LENASO, and with LENEPWHA, the lead Basotho PLHIV association, which is involved with implementing positive prevention activities under the GFATM Round 8. The program should especially focus on PLHIV in discordant relationships, those with multiple concurrent partnerships, and young infected women.
- *Out of school youth:* As per the above, the program will expand youth prevention, including the targeting of out of school youth and other at-risk youth, such as herd boys, building on the common framework and minimum package guide on HIV programming for adolescents and young people.

These population groups can be further segmented and strategies for these populations or proposed additional target audiences may be developed based on understanding of the epidemic in Lesotho.

Depending on the availability of funding and discussions with USAID, the program may target additional audiences, including, but are not limited to, other at-risk populations such as sex workers and MSM. Activities might include situation analyses, population size estimates, and formative research to strengthen existing services or develop new interventions. Other future efforts might focus on understanding the potential links between orphans and vulnerable children and HIV risk and prevention.

Result #1:

The capacity of Basotho institutions measurably strengthened to lead, sustain, and harmonize the HIV prevention response and deliver high quality HIV prevention services to scale

The technical quality of initiatives is critical to the effectiveness of HIV prevention efforts. Interventions need to be responsive to the culture and lifestyles of the Basotho people and specific target audiences through their active involvement during program development, implementation, and monitoring. Close coordination of prevention activities is also important to ensure consistency of prevention messages across partners, and to exploit the synergy between mass media and interpersonal communications. Coordination is also important to ensure adequate coverage of priority populations and geographic areas, to avoid duplication and overlap, and to ensure the efficient use of available resources.

The HIV Prevention with Youth and Adults program will strengthen capacity for effective HIV prevention at two levels. At the national level, it will support the government's efforts to expand, coordinate and monitor the national prevention response. At the implementation level, the program will strengthen the capacity of implementing organizations and communities to deliver high quality HIV prevention interventions, with a focus on social and behavior change communication (SBCC).

At the national level, the program should support NAC, the MOHSW, and other relevant Ministries in operationalizing and systematically implementing the proposed National Prevention Strategy, the Behavior Change Communication Strategy, and other policy documents and strategies that are relevant to HIV prevention efforts. The program should collaborate with governmental organizations to strengthen the coordination and monitoring the national prevention response, to strategically harmonize prevention efforts to maximize resource utilization, and to increase the coverage and quality of prevention interventions. The program should also assist government in developing and implementing monitoring and evaluation prevention frameworks, including approaches for tracking progress in between periodic national population-based surveys.

With implementing partners, the program will seek to improve the effectiveness of partner organizations to deliver evidence-informed HIV prevention interventions, and strengthen the competencies of civil societies and communities to mobilize and implement best practice local responses. The program will work to strengthen the SBCC expertise of its own implementing partners, as well as of local partners working in HIV prevention funded from other sources. It is anticipated that capacity strengthening undertaken by the program will move beyond provision of workshop training to a systematic, participatory approach that includes initial needs and competency assessment, technical skill building, and on-the-job mentoring and technical assistance. It will also include assistance in strengthening monitoring and evaluation of partners' SBCC efforts.

The program might consider the use of performance-based small grants to local organizations for supporting advocacy, community mobilization, and/or interpersonal communications activities, integrated within a capacity building and mentoring model. Organizations that receive capacity building, technical support, and mentoring should demonstrate a serious intent to inculcate that capacity throughout their organizations, and be held to performance standards. The program should consider the creation of a performance-based capacity-building model whereby strong local organizations mentor and support other local entities using blended learning approaches (such as classroom-based, on-the-job support, supportive supervision, or individual mentoring).

The program will promote internationally-established best practices, sharing of quality program tools and materials, and collaboration across prevention partners at the national, district and community level. It will also facilitate sharing of knowledge, skills, and experience among prevention partners. The USAID Regional HIV/AIDS Program (RHAP) is currently developing a Southern Africa Knowledge Management system including a Knowledge Management Center in Lesotho. The Lesotho Knowledge Management Center will offer the opportunity to collect and disseminate the above information within GKOL and among implementing partners, civil society organizations, and the public, and is expected to be a key partner in this program.

Illustrative Activities

- Provide technical assistance to the GKOL on national HIV response coordination and leadership development.
- Work with GKOL to prioritize geographic areas, populations and vulnerable groups, and develop a systematic plan for expanding and intensifying coverage of HIV prevention projects in close coordination with other ongoing prevention efforts.
- Assist in developing tools and approaches to map and measure program coverage and outcomes in order to better track the national prevention response and ensure alignment with key drivers and target populations (for example, logframe quality assurance methods).
- Support key government institutions in coordinating prevention efforts at the national and decentralized levels by convening partners on a regular basis to harmonize prevention messages, and exchange implementation successes, challenges and lessons learned.
- Provide assistance in technical areas such as SBCC, the application of behavioral theories and models in communications design and delivery, and quality assurance, through skills development and mentoring to organizations implementing prevention interventions.
- Provide technical assistance to organizations developing mass and local media and other materials to ensure that messages and materials are high quality, theory-based, address key epidemic drivers, and are aligned with messages delivered at the community- and individual-levels.
- Increase the capacity of local institutions, civil society organizations and service providers, working in all sectors, in standardized and state-of-the-art approaches to communications implementation, including approaches to positively influence social norms, facilitate community dialogue, and provide technically-sound materials and messages on HIV prevention.
- Build the management and advocacy capacity of PLHIV networks and organizations, as well as their capacity to scale up secondary prevention activities at the community level.
- Provide technical assistance and support to develop or enhance organizations working with vulnerable groups.

Result #2:

Communities measurably contribute to the adaptation of social and cultural norms, attitudes, and values that reduce vulnerability to HIV

The program will assist communities in confronting contextual factors and behavioral drivers underlying the epidemic by supporting community dialogue and action on the social and cultural norms and practices that increase risk and vulnerability to HIV infection. These social mobilization efforts should seek community involvement and ownership with the aim of achieving sustainable behavior change and positive social and cultural norms. Activities should be rolled out in a systematic manner to maximize geographic and population coverage. The program should apply best and promising innovative practices in communications for social change.

Norms related to tolerance of multiple and concurrent partnerships, intergenerational sex, transactional sex, and other risky behavioral drivers should be openly discussed and discouraged. Additionally, these dialogues should reinforce protective norms, such as consistent condom use, delayed sexual debut, non-tolerance of multiple partnerships, disclosure of HIV status to sexual partners, access to a full range of HIV prevention, care, and treatment services, and positive role modeling by adults for young people. The program will mobilize local political, traditional, religious

and social leaders and other influential individuals as sources of normative authority. It will support and engage these opinion leaders as agents for change in prevention, drawing on proven models from other settings for possible adaptation and replication. Activities should be harmonized with and further strengthen existing GKOL structures, initiatives and services for community engagement, in particular, the roll-out of the Essential Services Package by Community Councils under the leadership of the MOLGC.

Community mobilization efforts should also address stigma by promoting social acceptance and community support for those living with HIV. The program should engage PLHIV networks in advocacy and peer education to galvanize action for prevention. It should also encourage PLHIV to adopt norms reflecting positive living and responsible sexuality in order to prevent onward transmission of HIV. These activities will need to be reinforced by broader activities at the national and district levels.

Other cross-cutting issues to be addressed within community mobilization include gender, GBV, and the mitigation of risky traditional practices. Elements within gender include harmful male norms, the equitable access of services and activities by both sexes, and sexual violence and coercion. The program is encouraged to work with traditional leaders and communities to identify practices that, within the context of HIV/AIDS, become risky, and to create initiatives to address these practices.

Illustrative Activities

- Develop/adapt to the Basotho context tools, materials and processes to support community dialogue and engagement that are research-based and technically-sound; coordinate with mass media partners to ensure that materials for community dialogue are harmonized with mass media messages.
- Collaborate with existing networks and structures to convene community dialogues or other participatory techniques, using the adapted tools and materials and a structured community mobilization process. Potential partners in this effort include women's organizations, community-based organizations (CBOs), home-based care workers, faith-based organizations (FBOs), traditional leaders, etc.
- Address a range of normative issues through these dialogues, e.g. multiple and concurrent partnerships, gender norms, stigma, intergenerational sex, transactional sex, the importance of HIV testing; risky cultural and traditional practices, mutual disclosure of HIV status between sexual partners, alcohol use/abuse, and the like.
- Identify individuals in local communities and nationally who can serve as genuine role models and champions, and develop their leadership and communication skills.
- Increase collaboration and cooperation with traditional leaders and healers in the national prevention response.
- Promote interventions aimed at empowering women and girls to claim rights and entitlements in all aspects of their lives.
- Scale-up interventions that engage men and women, girls and boys in HIV prevention and support.

Result #3:

Basotho youth and adults measurably improve their ability and motivation to change their behaviors through increased knowledge, risk perception, skills, and access to services

Significant scope exists to improve the various pre-determinates of behavior change, which include but are not limited to accurate knowledge, personalized and accurate risk perception, self-efficacy, and skills related to HIV risk behaviors. While knowledge alone is not sufficient to change behavior, it remains an essential precursor to modifying behavior, and the 2009 LDHS has demonstrated considerable increases in the levels of comprehensive knowledge for both men and women. Similarly, personalizing risk in an accurate manner, and developing specific skills such as negotiation and decision-making in the context of negative social norms, can facilitate adoption of safer behaviors. To

facilitate this process it will be necessary to also address structural factors that reduce incentives for behavior change, such as gender, traditional norms, and economic power imbalances.

The proposed program will seek to achieve systematic coverage of high quality behavioral interventions, with emphasis on well coordinated, evidence-based and innovative programming. Individual-level, small group interventions and community-level interactive methodologies and repeat contacts (“dosage”) help maximize behavioral impact. Formative research and participatory methodologies should assist in tailoring interventions and messages to address the most relevant drivers for different population segments, recognizing the different needs of youth and adults, and HIV-positive and negative individuals. In addition, these interventions will need to be specifically adapted to the competencies, gender, age, vulnerability and mindsets of the recipients.

Under this program, scientifically supported structural, community, interpersonal and individual level theories should be utilized when outlining expected outcomes, framing and implementing interventions and designing monitoring and evaluation. Illustrative examples include: Gender and Power theory, Social Disorganization theory, Empowerment Education theory, Diffusion of Innovation theory, Social Cognitive theory, Social Networks theory, Health Belief model, Stages of Change, and Reasoned Action theory. Program initiatives should be theory-based, and linked to expected results at the input, output, and outcome levels. The program seeks to identify specific activities that are supported by evidence or best practice examples. Non-specific terms such as ‘life skills’ ‘peer education’ and ‘HCT’ without sufficient details are not the focus of this program. Activities will need to be adapted to Basotho culture and lifestyles.

In order to implement high quality, intensive interventions with limited resources, it may also be necessary to prioritize target populations. Illustrative activities include:

- Scale up quality behavioral interventions within the context of defined and operationalized core packages of services tailored to each target audience through existing networks and structures. For adults, these may include community and faith-based organizations, employer associations, coalitions of business organizations, public sector organizations, NGO umbrella organizations, and the like.
- For young people, partnerships with schools and with national and local youth-serving organizations involved in youth development and empowerment activities should be prioritized. In addition, young people themselves need to be included as full partners concerning interventions meant to address them
- Select evidence-based or best practice interventions that target the key epidemic drivers, especially reduction of MCP and cross-generational and transactional sex; wherever possible develop/adapt materials that build on high quality tools and materials where these already exist and are audience appropriate.
- Provide support to institutions providing HIV prevention services to at-risk populations to strengthen “friendly” and accessible services and activities that meet the specific needs of at-risk populations.
- Expand positive prevention through PLHIV support groups, and explore other innovative ways to reach PLHIV and discordant couples. Develop a minimum prevention package for community-based positive prevention, including targeted communication to encourage responsible sexuality and consistent condom use.
- Design and implement highly targeted and highly focused interactive mass and local media that directly support initiatives under this program and complement national SBBC programs.
- Expand the knowledge base and prevention programs and services for vulnerable groups and other at-risk populations in Lesotho.
- Promote correct and consistent condom use, especially in casual, first time, discordant and high risk relationships, and adopt creative approaches to increasing demand for condoms and positive condom norms. Ensure easy access to condoms at the community level, especially for young people.

- Establish strong linkages and referral systems between prevention and other HIV and health services, especially HIV counseling and testing, but also PMTCT, care and support, and anti-retroviral therapy, as elements within operationalized tailored core packages of services.
- Strengthen routine quality assurance and outcome monitoring and evaluation of prevention interventions to help assess their effectiveness.

3. Resource Leverage - GDA/PPP Strategy:

Official U.S. Government assistance now accounts for only a minority share of the flow of resources from the United States to developing countries. Foundations, private companies, non-governmental organizations and other entities have become increasingly active in financial development efforts in Southern Africa and elsewhere, and they are often looking for synergies with other similar programs. USG in Lesotho encourages that applicants propose possible partnerships that could leverage private resources in their proposed technical sector and targeted geographic area.

This program therefore seeks to leverage additional resources from the private sector. USAID anticipates that program funds/technical assistance/grants under this award will be used as leverage for private sector funding or resources. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives. USAID has established a target ratio for leverage of 1:1. Leveraged resources obtained through partnerships may free up funding for other purposes within this program description or allow for expanded program implementation. Additional information on "Global Development Alliance" (GDA) activities is available at http://www.usaid.gov/our_work/global_partnerships/gda/index.html.

Any partnership commitments undertaken by the implementer(s) during the course of the program will be subject to USAID review and approval. Any post-award changes to the cost or program budget will also be subject to USAID approval.

4. AUTHORIZING LEGISLATION/APPLICABILITY OF 22 CFR 226

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended. 22 CFR 226 would be applicable to an award to a U.S. organization made under this RFA. The following provision will be included in any sub-award to a U.S. entity resulting from this RFA:

Applicability of 22 CFR part 226 (May 2005)

- (a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.
- (b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

5. PROGRAM ELIGIBILITY REQUIREMENTS

Any non-governmental organization (including, but not limited to, Private Voluntary Organizations (PVOs) and for-profit entities) or public international organization is eligible to apply under this RFA. Organizations or institutions with on-going or planned activities with potential to support USAID/Southern Africa's health objectives may submit an application for funding.

6. AWARD ADMINISTRATION

For U.S. organizations, 22 CFR 226 and the *Standard Provisions for U.S., Nongovernmental Recipients* will apply in the administration of the award.

For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award.

For Public International Organizations (PIOs), the *Standard Provisions for Grants to Public International Organizations*, along with selected provisions from the *Standard Provisions for Non-U.S., Nongovernmental Recipients* and other negotiated provisions, will be used.

These documents may be accessed through the internet as follows:

- 22CFR226:
http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html
- OMB Circulars
<http://www.whitehouse.gov/omb/circulars/index.html>
- Standard Provisions for Non-U.S., Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- Standard Provisions Public International Organizations:
<http://www.usaid.gov/policy/ads/300/308mab.pdf>

For copies of these regulations, interested applicants may contact Hossana Agedew at hagedew@usaid.gov and AgedewH@bw.cdc.gov.

SECTION II – AWARD INFORMATION

1. *ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED*

Subject to the availability of funds, USAID intends to provide approximately \$17 million in total USAID funding over a five-year period of the program. USAID intends to award one (1) Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund one or none of the applications submitted.

2. *START DATE AND PERIOD OF PERFORMANCE*

The period of performance anticipated herein is five (5) years. The estimated start date is on or **about April 1, 2011**.

3. *TYPE OF AWARD*

USAID plans to negotiate and award an assistance instrument known as a Cooperative Agreement with the successful Applicant for this Program. A Cooperative Agreement implies a level of “substantial involvement” by USAID. This substantial involvement will be through the Agreement Officer, except to the extent that the Agreement Officer delegates authority to the Agreement Officer’s Technical Representative (AOTR) in writing. The intended purpose of the substantial involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. The substantial involvement elements for this award are listed below (this list does not include approvals required by 22 CFR 226 or other applicable law, regulation or provision):

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;
- Approval of all subcontractors and sub-recipients and concurrence on the substantive provisions of all sub-awards.

SECTION III – ELIGIBILITY INFORMATION

1. APPLICANTS

Qualified applicants may be U.S. or non-U.S. Non-governmental organizations (NGOs), private voluntary organizations (PVOs), for-profit companies willing to forego profit, and Public International Organizations. Faith-based and community organizations that fit the criteria above are also eligible to apply. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners.

2. COST SHARE/RESOURCE LEVERAGING

Cost sharing is not required under this RFA, though it is encouraged.

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. Cost sharing is defined at 22 CFR 226.23. Cost-sharing may consist of cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions). Information regarding the proposed cost share, if any, should be included in the SF 424 (for U.S. organizations only) and the Budget as indicated on those documents. The cost sharing plan should be discussed in the Budget Notes to the extent necessary to demonstrate its feasibility and applicability to the program.

This RFA further encourages applicants to leverage additional resources from the private sector in this program. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives. As discussed in Section I, Part C, the recommended ratio for leveraging resources is 1:1. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a project. It may include cost sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINTS OF CONTACT

Leona Sasinkova
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AgedewH@state.gov

2. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information – Non-construction Programs,**
- **SF-424B, Assurances – Non-construction Programs,**

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs for non-construction activities should be included on the SF-424A. Copies of these forms may be found as an attachment to this RFA.

3. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, both US and non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

- a. A signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs certification applies to Non-US organizations if any part of the program will be undertaken in the United States.
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- d. Survey on Ensuring Equal Opportunity for Applicants; and
- e. **All applicants must provide a Data Universal Numbering System (DUNS) Number.** If you have questions on how to obtain a DUNS number, please visit the Duns and Bradstreet Numbers website at http://www.dnb.com/US/duns_update/.

4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

The application shall be split into two separate parts:

- A. Technical Application; and
- B. Cost/Business Application.

All applications shall be in English. The format for each of these parts of the application is set forth below.

A. Technical Application Format

The Technical Application shall contain the following sections:

- 1. *Cover Page;*
- 2. *Program Abstract/Executive Summary;*
- 3. *Technical Application Body; and*
- 4. *The Annex.*

The overall page limitation for the technical application is 32 pages. Applications shall be written in English and typed on standard 8 1/2" x 11" (216mm by 297mm paper) or A4 paper, single spaced, 12 point font with each page numbered consecutively¹. The Annex and items such as the cover page, dividers and the table of contents are not included in the 32-page limitation.

1. Cover Page

The Cover Page shall include the applicant's name, identification of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address). Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should mark the cover page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, an agreement is awarded to this applicant as a result of this RFA, a final determination will be made regarding the extent to which data included in the cooperative agreement can be disclosed."

The Applicant can include any other information or graphics on the cover page that it determines are beneficial.

¹ Footnotes, charts, tables and other similar types of graphic displays can use font that differs from that specified herein. However, USAID reserves the right to not review pages in the application if this practice is abused.

2. *Program Abstract/Executive Summary*

The Program Abstract shall be a two-page summary of the application. The Program Abstract shall summarize the key elements of the applicant's technical strategy, management approach, implementation plan, expected results and M&E plan.

3. *Technical Application Body*

The Technical Application Body will contain the main parts of the technical application and shall include the following sections:

- a. Technical Approach;
- b. Management & Staffing;
- c. Monitoring & Evaluation;
- d. Institutional Capacity/Experience;
- e. Past Performance.

The maximum number of pages in this section will be thirty (30). The basic purpose of this section is to provide the information necessary to allow USAID to fairly and completely evaluate the Applicant under each of the evaluation criteria specified in Section V of this RFA. Additional specified guidance for each section of the Technical Application Body is set forth below.

a. Technical Approach

In this subsection, the Applicant should address the considerations related to and provide all of the information necessary for USAID to effectively and fairly evaluate the criterion specified in Section V.1.A. This Section should include sub-sections addressing the following: 1. Technical Soundness; 2. Implementation Effectiveness; and 3. Gender Appropriateness.

1. Technical Soundness

This subsection should describe in detail the proposed technical strategy, approach and comprehensively address how the applicant will achieve the objectives outlined in the Program Description over the 5-year life of the program. This Section must set forth in sufficient detail the conceptual approach, methodology, and techniques for the implementation and evaluation of program activities and should demonstrate responsiveness to the Lesotho context including the approach to working with the GOKL. The Applicant will be expected to reflect its understanding of the health and HIV/AIDS initiatives already being conducted in-country by the USG, other implementing partners, other donors, and the host country government. Applicants are expected to show how they will collaborate with all prevention stakeholders to implement a coordinated national prevention program that includes structural, behavioral and biomedical interventions. The Applicant should include in this section:

- a) a description of a preliminary transition plan with existing activities and staff and how current strategies and methodologies will be transitioned to the applicant's technical approach;

- b) a plan for promoting sustainability through capacity building and hand-over of decision making to Basotho prevention leaders;
- c) a description of activities that are theory-based, and linked to expected results at the input, output, and outcome levels. Specific activities that are supported by evidence or best practice examples. Non-specific terms such as ‘life skills’ ‘peer education’ and ‘HCT’ without sufficient details will render the application non-responsive.
- d) a sample case study addressing HIV prevention and the reduction of multiple and concurrent partnerships among Basotho adults and including details on how the program would approach the design, implementation, and assessment of strategies and tactics to address this issue. The case study should outline the use of evidence-based methodologies and include an indicative budget.
- e) A comprehensive approach to private sector engagement and clear description of the amount of resources that are expected to be leveraged.

2. Implementation Effectiveness

An implementation plan for achieving the expected program results should be discussed in this sub-section. The implementation plan should clearly outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the program results as well as evidence of the proposed approach’s effectiveness. At a minimum, this discussion should address how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Methods for mid-term and end of program evaluations.

Applications should describe in detail implementation plans related to the methodologies included in the Program Description, showing the phasing or dates by which planned activities would be carried out as well as proposed indicators to assess the progress of the program. The implementation plan should include a description of all planned activities with sufficient detail including:

- Sequence of activities;
- Timeframes for implementing each activity;
- Outcome of each activity;
- Impact on disadvantaged communities;
- Involvement of alliances/partners/twinning;
- Sustainability plan

If the Applicant determines that a lengthy chart or other supporting documentation is helpful, this supporting documentation may be included in the Annex.

3. Gender Appropriateness

In this subsection, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.A.3. The Applicant should specifically discuss how gender concerns will be incorporated into the overall approach to the program and propose ways to create equal opportunities for men and women in the implementation of this program.

b. Monitoring & Evaluation

In this Section, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.B. The Applicant should address monitoring and evaluation and should demonstrate its ability to reach stated program objectives within the required time of performance (including a plan for rapid launch of program activities) through the inclusion of illustrative timelines for the effective implementation. The M&E section should also identify expected interim and final results of the program and a plan for collecting baseline and follow-on data. At a minimum, this discussion should address how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Methods for mid-term and end of program evaluations.

Applicants shall provide a preliminary monitoring and evaluation (M&E) plan in this section of their technical application. The plan shall identify preliminary indicators and targets which support and contribute to the MOH strategy in Lesotho, USAID/RHAP strategy and OGAC/ PEPFAR standard indicators. The applicant shall elaborate in the preliminary plan the expected program results with illustrative indicators, mid-term milestones/ benchmarks, and end-of-project results. For each indicator, the M&E plan shall provide interim and final targets, data sources, collection methods and baseline information or a timeline for collecting baseline information. The applicants shall show how each task relates to indicators and targets. Routine data quality assessments are also required. The M&E plan should provide for a mid-term, external program assessment and describe how the assessment's results will be used to make program improvements. The plan should address how the M&E plan will contribute to evidence-based decision making and programming.

Upon award, the apparently successful applicant will work in consultation with the Agreement Officer's Technical Representative (AOTR) and other PEPFAR staff to develop and execute a final M&E plan including establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with USAID/RHAP and PEPFAR teams. As PEPFAR is currently undergoing a Next Generation Indicators exercise, the recipient should be flexible in adapting its M&E efforts based on the results of the Next Generation Indicators exercise (<http://www.pepfar.gov/documents/organization/81097.pdf>). This work may include modifying indicators and/or targets and data collection plans, accordingly. Relevant PEPFAR New Generation Indicators include the following:

Number of the intended target population reached with individual and/or small group level interventions that are based on evidence and/or meet the minimum standards required	Disaggregation by: Age: 10-11 years old, 12-14 years old, 15-24 years old, 25+ years old By Sex: Male; Female By: Residence: Urban, Rural
	By Education: No education, Primary, Secondary, Tertiary

Number of individuals from target audience who participated in a community wide event	By type of target audience
Percent of target audience reached: number of people estimated to have been reached, by channel, divided by the estimated size of the target population	
Percent of men and women aged 15-49 who have had two or more concurrent partners in the last 12 months	
Percent of men and women aged 15-49 who have had more than one sexual partner in the last 12 months reporting the use of a condom in their last sexual encounter	
Percentage of most-at-risk populations who both correctly identify ways of preventing the sexual transmission of HIV and who reject major misconceptions about HIV transmission	Disaggregation by: By Sex: Male; Female By type of target audience

In addition to PEPFAR New Generation Indicators, applicants are highly encouraged to present illustrative five year targets and benchmarks that correspond to the technical approach.

c. Management & Staffing

In this section, the Applicant should discuss its proposed management and staffing plan that is capable of operating independently, particularly in cases where time does not permit consultation with headquarters to respond to time-sensitive requests from the Lesotho PEPFAR team and USAID/Southern Africa Regional HIV/AIDS Program Office team, or when long turnaround times from headquarters' reviews of reports and other documents delay the submission of those documents. The team in the country should have the authority to make decisions and set priorities for program-related activities. Applicants should provide summary descriptions of roles, responsibilities, and qualifications of all key personnel, local and expatriate, consultants, sub-awardees/partners to be funded under the award. The details of required information are as follows:

Applicants should provide a clear description of how the cooperative agreement will be managed, including the approach to addressing potential problems. Applicants shall outline which organization/sub-recipient will carry out the various tasks specified in the technical approach and evaluation plan. Applicants shall specify the composition and organizational structure of the entire program team (including home office support and any sub-partners and/or sub-grantees) and describe each staff member's role, technical expertise, and estimated amount of time each will devote to the program. Applicants may propose a mix of international and domestic advisors and specialists to cover the full range of objectives and activities. A functional organizational chart of the proposed prevention program should be included in the appendix.

Personnel Requirements

The Applicant shall propose technical, managerial and other personnel as deemed appropriate to implement the tasks described above. The personnel plan shall elaborate what and how long-term and short term technical and management assistance will be provided to the program to accomplish tasks and objectives. Key Personnel for this cooperative agreement are:

1. Chief of Party (COP)
2. Technical Advisor, Capacity Building
3. Technical Advisor, Social and Behavior Change Communications
4. Technical Advisor, Monitoring and Evaluation

Please note that the terms “Chief of Party” and “Technical Advisor” are illustrative; the Applicant is encouraged to use the terminology applied within its own organization, but without diluting the intent of the role of these key staff. Among these key personnel, the required skill set includes — but is not limited to — all of the following technical areas: the behavioral sciences, HIV prevention, gender, local organizational capacity building, monitoring and evaluation, social and behavior change communications, and experience in managing similar programs in Southern Africa.

Applicants may add other key personnel as appropriate to conform to technical and managerial approach; however the total number of proposed key personnel should not exceed five (5). Applicants shall specify the qualifications and abilities of key personnel relevant to successful implementation of the proposed technical approach. The COP will act as the principal managerial contact with the PEPFAR/Lesotho, NAC, and the MOHSW.

The Applicant shall also include, in an annex, resumes, bio data sheets (Form AID 1420-17), and personnel references for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Each resume shall be accompanied by a signed letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. A list of 3 non-personal professional references should be included in the Annex for each proposed key personnel. The reference information provided in the Annex should consist of the following: full name and relationship, accurate and up to date email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed.

The Applicant should consider locally (non-overseas)-hired candidates for appropriate staff positions. Such staff should have played important technical and country-level support roles in past and current health and HIV/AIDS programs. Regional candidates (third-country nationals) should also be considered for appropriate staff positions.

The Applicant shall elaborate a plan for supervision, management and technical training and support of all program personnel. This plan should describe how the Applicant will ensure that staff gain and sustain level of preparedness to operate effectively in their roles.

The management and staffing plan proposed by the Applicant should detail management authorities, enabling field-based staff to operate efficiently and autonomously to respond to time sensitive requests from NAC, MOHSW, USAID and PEPFAR/Lesotho. This includes the authority to make decisions and set priorities for program related activities. The plan should detail how the recipient will interact with the Technical Leaders of the MOHSW and NAC on a regular basis and how they will react to adjusting priorities of GKOL.

In proposing the overall staffing plan, the Applicant should ensure that expertise in implementing similar programs of focus and scale in the African context (preferably Southern and/or Eastern African) is represented.

All personnel must demonstrate exceptional written and oral communications skills in English. Familiarity with the political, social, economic and cultural context of working in Lesotho is preferred.

Sub-partners and sub-grantees

The Applicant may want to consider sub-contractors, sub-grantees, and/or other partners to assist in the implementation of various components of the program. The prime partner will be responsible for all technical activities regardless of what organization implements. Applicants should propose innovative ways to reduce managerial costs of any sub-awardee or proposed partner such as sharing office space, vehicles, etc.

If the Applicant plans to collaborate with other organizations, government agencies or indigenous organizations for the implementation of the program, the services to be provided by each agency or organization shall be described. Applicants that intend to utilize sub-awards shall indicate the extent intended, the method of identifying subpartners, and the tasks/functions they will be performing.

Applicants shall state whether or not they have existing relationships with these other organizations and the nature of the relationship, and should include Memorandum of Agreement (MOA)/Memorandums of Understanding (MOU), if any, with proposed collaborators in the appendix.

US Volunteers

The use of highly skilled U.S. volunteers must be addressed in this section, including the level of effort, the specific roles that U.S. volunteers can play and any constraints affecting the use of U.S. volunteers. The staffing plan shall elaborate what and how long-term and short term technical and management assistance will be provided by volunteers to the program to accomplish tasks and objectives.

d. Organizational Capability/Experience

In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in structural, behavioral and biomedical prevention interventions; collaborations with donors and host country governments; and use of NGOs to strengthen health and HIV/AIDS systems, and to improve the quality and use of data for decision making and to advance organizational capacity building. Additionally, the applicant shall describe the organizational financial and management systems and how that positions the organization to effectively manage this program.

The Applicant should also describe the organizational knowledge, capability, and experience of the other proposed team members (sub-contractors and/or grantees) in successfully managing similar programs.

e. Past Performance

The Applicant should discuss in this section examples of its past performance as well as examples of the past performance of the proposed sub-contractors/sub-recipients and or other partners, if any in managing similar program. The Applicant should address any relevant performance issues related to past performance.

The Applicant shall identify (briefly, with details in the Annex) the three (3) most recent and fully completed contracts or agreements that involve some of the activities described in Section I.C. above and which value exceeded \$5 million for itself and each proposed sub-contractor/sub-

recipient or other partner, if any. In addition, the Applicant may identify (briefly, with details in the Annex) up to five (5) additional contracts or agreements related to the activities described in Section I.C. for the prime and up to three (3) for each proposed sub-contractor/sub-recipient or other proposed partner, if any.

Also in the Annex, the Applicant shall include one information sheet for each such contract or agreement. The information sheets shall include all of the following information:

1. The identity of the entity involved (e.g. the Applicant, a major subcontractor or major sub-recipient);
2. A description of the project's scope, magnitude and period of performance;
3. Location of the project;
4. Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;
5. Discussions of accomplishments as well as engineering, management or other challenges associated with completion of the project and what the Applicant did to overcome the challenges
6. Contact information (names, telephone numbers, email addresses, etc.) for the entity that funded the program or contract. Names and contact information should be provided for both technical and contracting/grant administration personnel, preferably for personnel who directly oversaw the program or contract.

Please note that it is the applicant's responsibility to provide the above requested past performance reference contact information that is accurate and up to date.

4. The Annex

The technical application annex shall contain resumes, letters of commitments from personnel or partners, proposed teaming arrangements, past performance and personnel references, letters of recommendation, awards, testimonials and any other supporting documentation requested in the RFA as applicable.

B. Cost/Business Application Format

The Cost/Business Application is to be submitted separately from the technical application. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. The Cost Application must be completely separate from the applicant's Technical Application. The application must include completed SF-424 forms as set forth in Section IV.2 above.

1. The cost application should be for a period of 60 months.
2. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
3. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets listed in Section IV.2 above. All budgets shall include a sheet relating to the entire 60-month period separated by each of the five program years. These budgets

shall include a breakdown of the costs allocated to any sub-recipient involved in the program, as well as the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in Microsoft Excel format.

4. Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived. The electronic version of all budgets, including those of subawardees should be provided in unprotected Microsoft Excel format.
5. The following Section provides guidance on line item costs.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the organization's personnel policies.

Fringe Benefits - If the organization has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies; (applicants may however choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, branding/marketing supplies, etc. The narrative should provide a breakdown and support for all and each other direct costs.

Indirect Costs –Local/ regional or other organizations that do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government, these organizations should treat all indirect costs as direct costs and provide a fully-developed and supported rational for allocating or estimating how much of the indirect costs should be allocated to the program.

Seminars and Conferences - The application should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

Foreign Government Delegations to International Conferences: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's

delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference “Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AOTR [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>].

Source and Origin Requirements - The authorized Geographic Code for this Agreement will be 935.

Training Costs - If there are any training costs to be charged to this Agreement, they must be clearly identified.

6. In the case of an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
7. The required Certifications, including the SF 424s, should be included with the Cost Application.
8. As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the program to maximize the funds available for program activities.
9. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
10. Indicate if financial commitments were made among partners during the preparation of the application. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.
11. If requested by USAID after submission of applications, please provide information on the Applicant’s financial and management status, or that of major subcontractors and sub-recipients, including:
 - (a) Audited financial statements for the past three years,
 - (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
 - (c) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant

should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

- (d) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

12. The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:

- a. Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;
- b. Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;
- c. Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to discuss any notable issues regarding its record of performance that were not discussed in the technical application);
- d. Has a satisfactory record of integrity and business ethics; and
- e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

If requested by USAID after submission of applications, please provide any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organization shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

- 13. Cost Sharing: Cost sharing is encouraged under this RFA. Applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this program. If applicants choose to do so, a separate cost-share detailed budget is required clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23 and can be audited.
- 14. Unnecessarily elaborate applications: unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

5. *SUBMISSION DEADLINES*

Applications shall be due on the date and time specified on the cover letter of this RFA. USAID will determine that any applications that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

6. *FUNDING RESTRICTIONS*

There are no funding restrictions applicable to this RFA at this time.

7. *GENERAL INSTRUCTIONS*

USAID will accept applications from the qualified entities as defined in Section III of this RFA. Applicants should follow the instructions set forth herein. If an applicant does not follow the instructions, its application may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. All applications received by the deadline will be reviewed against the evaluation factors in Section V.

The preferred delivery method is electronically via e-mail to: applications4@usaid.gov with up to 10 attachments (5MB limit) per email compatible with Microsoft Office 2003 compatible (MS WORD or Excel) in a MS Windows environment. Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicants may also send an Adobe Acrobat portable document format (.pdf) for electronic submission; however, zipped files attachments are not allowed and all budgets, including those of proposed sub-recipients/sub-contractors, must be in an unprotected MS Excel format. The subject line for every such email must include the following: **“Lesotho HIV/AIDS Prevention among Youth and Adults Program.”** Applicants shall provide 2 (two) hard copies of the original technical application and 2(two) copies of the cost application to the following address, with the goal that these hard copies will be received within one week of the closing date for receipt of application if the application is submitted electronically:

USAID/Southern Africa
Office of Acquisition and Assistance
P.O.Box 43, Groenkloof, 0027
Pretoria, South Africa
Attn: Leona Sasinkova, Regional Agreement Officer
Hossana Agedew, Regional Acquisition & Assistance Specialist

Alternatively, applications can be delivered by hand/courier to the following address:

Leona Sasinkova
Agreement Officer
USAID/Southern Africa
100 Totius Street
P.O. Box 43 Groenkloof
Pretoria, South Africa
E-mail: lsasinkova@usaid.gov

And/Or Yvonne Habulembe
Regional Acquisition and Assistance Specialist

USAID/Southern Africa
100 Totius Street
P.O. Box 43 Groenkloof
Pretoria, South Africa
E-mail: yhabulembe@usaid.gov

Please note that lateness of the applications will be determined by the submission of the electronic submission, not the submission of hard copies.

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted. Electronic submissions through the www.grants.gov website are acceptable. In order to use this method, an applicant must first register on line with www.grants.gov.

Consistent with ADS 303.3.6.7, applications that are submitted late may be eliminated from the competition. If a late application is evaluated and considered for award, all similarly-situated late applications (in terms of time of receipt) will also be evaluated and considered for award.

8. *BRANDING STRATEGY AND MARKING PLAN*

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein. **Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.**

SECTION V – APPLICATION REVIEW INFORMATION

This Section includes information regarding: 1. the evaluation criteria that will be used; 2. branding and marking; 3. a discussion of cost share; and 4. a discussion of the review and evaluation process.

1. SCORED EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. The following evaluation criteria will be used to make an award decision.

A. Technical Approach (maximum 35 points)

1. Technical Soundness (25 points):

Evaluation under this sub-factor will focus on the soundness of the proposed technical strategy and approach and the demonstration of how the applicant will achieve the objectives outlined in the Program Description over the 5-year life of the program. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the technical approach is logical, well-conceived, and technically appropriate for the Lesotho context
- b. The extent to which the technical approach reflects understanding and accordance with the NSF and Partnership Framework priorities, USG program objectives in Lesotho and OGAC technical guidelines
- c. The extent to which the technical approach demonstrates innovative, state-of-the-art, and performance and evidence supported strategies and tactics for achieving results within a combination prevention approach
- d. The extent to which the technical approach demonstrates innovative and results-focused strategies and tactics for strengthening the capacity of Basotho communities and organizations in delivery of evidence-based HIV prevention
- e. The extent to which the technical approach articulates an appropriate and results-focused approach to coordination
- f. The extent to which the technical approach draws from lessons learned from Lesotho and elsewhere, especially in the Southern African region, but sets forth an innovative approach for the situation in Lesotho
- g. Quality of the preliminary transition plan describing existing activities and staff and how current strategies and methodologies will be transitioned to the applicant's technical approach
- h. Soundness of the proposed plan for promoting sustainability through capacity building and hand-over of decision making to Basotho prevention leaders
- i. Soundness of the sample case study addressing HIV prevention and the reduction of multiple and concurrent partnerships among Basotho adults and including details on how the program would approach the design, implementation, and assessment of strategies and tactics to respond to this issue; its proposed use of evidence-based methodologies; and reasonableness of the indicative budget
- j. Applicant's proposed target ratio for resource leverage

2. Implementation Effectiveness (5 points)

Evaluation under this sub-factor will focus on the effectiveness of the proposed implementation plan for achieving the expected program results. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the technical approach illustrates timelines for the effective implementation of program components
- b. The extent to which the technical approach demonstrates the Applicant's ability to reach stated program objectives within the required time period of performance
- c. The extent to which the technical approach provides for sustained results beyond the life of the program

3. Gender Appropriateness (5 points)

The extent to which the application demonstrates that all relevant gender and gender issues are identified and addressed will be evaluated. Evaluation under this sub-factor will also focus on the strength of the analysis of gender issues presented in the technical application and also the extent to which disadvantaged gender groups will be integrated into the activities proposed and supported.

B. Monitoring & Evaluation Plan (10 points)

The monitoring and evaluation plan factor relates to the applicant's plan to monitor and evaluate the results achieved. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the M&E plan identifies preliminary indicators and targets which are in accordance with and support achievement of GKOL objectives and OGAC/PEPFAR program objectives and are specific, measurable, and achievable within the Lesotho context. Shows flexibility and methodology for making changes in indicators and adjustments in data collection and analysis to meet anticipated forthcoming changes next generation of the NSP (expected in 2011);
- b. The extent to which the M&E plan proposes a realistic and achievable timeline for reaching OGAC/PEPFAR indicators and targets;
- c. The extent to which the M&E plan demonstrates data reliability, validity and effectiveness in data collection and analytical approach for quantifying program progress and impact;
- d. The extent to which the M&E plan explains how M&E activities will integrate with and support building local capacity for one M&E system for evidence-based decision making.

C. Management and Staffing (25 points)

Evaluation under this factor will focus on the quality of the proposed management and staffing plan and its ability to operate independently and timely to deliver the results of the program. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the management and staffing plan proposes long-term and short-term personnel plan, presenting composition of the program team and identifying key

- personnel with appropriate technical and managerial expertise and experience to provide technical direction, management and oversight to meet program goals and results; demonstrates appropriateness and relevance of expertise and experience of key personnel in a general pandemic environment
- b. The extent to which the management and staffing plan demonstrates the Chief of Party's ability to manage a state of the art HIV prevention program in an integrated HIV/AIDS prevention setting, coordinate with multiple ministries, international donors, and local and international NGO partners and have technical experience in at least one or more technical areas; COP must also demonstrate ability and past experience to work with diverse implementation methodologies
 - c. The extent to which the management and staffing plan demonstrates appropriateness and effectiveness of staffing pattern, including limited home office support and use of international, regional and local professionals and presents appropriate organizational structure for the program.
 - d. The extent to which staffing plan aligns personnel (short and long-term as well as home office support) with each program component, align responsibilities and propose a plan for technical and other support from short-term, local, international and regional experts
 - e. The extent to which the management and staffing plan demonstrates appropriate experience and cultural sensitivity to work within the context of Lesotho and Basotho society as well as with its government and partners and stakeholders

D. Institutional Capacity and Experience (10 points)

Evaluation under this factor focuses on the existing capabilities of the applicant and its proposed partners/sub-contractors/sub-recipients and their actual experience in providing similar services to those required under the program description. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The organizational knowledge, capability, experience of the lead applicant in managing similar country-wide programs. Specific attention should be paid to demonstrating past experience in expanding PMTCT to an integrated and comprehensive care and treatment environment, focusing on policy improvements, building beneficial relationships and coordination with broad range of government, donor and local and international NGO organizations at national, provincial, district and local levels;
- b. Ability to demonstrate relevant organizational knowledge, capability, and past experience of the other proposed team members (proposed sub-recipients and/or grantees, if any) in successfully implementing similar programs;
- c. Level of experience in supporting and sustaining new knowledge and skills of local staff beyond program end; and
- d. Level of experience in evidence-based decision making and programming, demonstrating how data for decision making was acquired and used to improve service delivery and policy making.

E. Past Performance (10 POINTS)

(a) Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the applicant. USAID will utilize existing databases of agreements performance information and solicit additional information from the references provided in Section IV.4.A.a. of this RFA and from other sources if and when the Agreements Officer finds the existing databases to be insufficient for evaluating an applicants performance.

(b) If the performance information contains negative information on which the applicant has not previously been given an opportunity to comment, USAID will provide the applicant an opportunity to comment on it prior to its consideration in the evaluation, and any applicant comment will be considered with the negative performance information.

(c) USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

(d) The Applicant's performance information determined to be relevant will be evaluated in accordance with the elements below:

- Quality of product or service, including consistency in meeting goals and targets;
- Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks;
- Business relations, addressing the history of professional behavior and overall business-like concern for the interests of the customer, including coordination among subcontractors and developing country partners, cooperative attitude in remedying problems, and timely completion of all administrative requirements;
- Customer satisfaction with performance, including end user or beneficiary wherever possible;
- Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified; and
- Cost control, including forecasting costs as well as accuracy in financial reporting, ensuring that unnecessarily expensive technical assistance is not used when lower cost advisors are adequate, and pacing the expenditure of level of effort such that contract deliverables and outputs can be produced within budget.

F. COST/BUSINESS APPLICATION

COST EFFECTIVENESS AND COST REALISM/REASONABLENESS (10 points)

This criterion will evaluate the cost effectiveness and cost realism and reasonableness of the applications. Additional information on each of these considerations is set forth below.

- Cost effectiveness - The Applicant's demonstration that proposed results will be achieved with the most efficient use of available resources (amounts included as cost share may be considered in this analysis). Cost effectiveness may include analyzing the cost per result proposed. Cost effectiveness will also include an analysis of the ratio of administrative costs compared to costs dedicated to program implementation (US Government costs). Applicants who do not provide clear information and notes regarding the purpose of each proposed cost and do not provide the breakdown required by Section IV.4.B.9 between management, administrative and support costs versus program activity costs run the risk that costs may be interpreted as relating to administrative costs instead of program implementation costs.
- Cost realism - That the Applicant's technical approach supports the costs proposed. In addition, the cost realism analysis will evaluate whether the costs estimated accurately reflect the costs that would be incurred during the actual performance of the program, and whether those costs are reasonable. The cost realism analysis will: a) verify the Applicant's understanding of the requirements and regulations; b) assess the degree to which the cost Application reflects the approaches in the technical application; and c) assess the degree to which the cost included in the cost Application accurately represents the work effort included in the technical application.

- Cost Analysis: All proposed costs will be evaluated for completeness, reasonableness, fairness, allowability and allocability. This analysis is intended to determine the degree to which the costs included in the cost/price application are fair and reasonable.
- Consistency of budget line items and amounts with the resource requirements of the different activities will be evaluated.
- Finally, the clarity and conformity of the applicant's Cost/Business Application to the instructions will be considered.

2. *BRANDING STRATEGY AND MARKING PLAN*

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be required to submit a Branding Strategy and Marking Plan prepared in accordance with the guidelines contained in AAPD 05-11, CFR 226.91 and ADS 320.3.3. No award will be made without USAID approved Branding Strategy and Marking Plan.

3. *COST SHARING*

Cost share is encouraged under this RFA. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

4. *REVIEW AND EVALUATION PROCESS*

The technical applications will be evaluated in accordance with the evaluation criteria set forth above by a Technical Evaluation Committee (TEC) comprised of USAID employees, other U.S. Government representatives and host country experts.

The cost applications will be evaluated by the Agreement Officer on Cost effectiveness, realism and analysis. Award will be made to the responsible applicant whose application offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the **only** individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

The required format and content for the application are described in Section IV. A team of technical experts shall review and score applications received in response to this RFA. Applicants responsive to the requirements of this RFA, that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute the activities expected under this program using mutually agreed, international standards of accountability are eligible to apply.

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO APPLICANTS

The Notice of Award (ADS 303.3.7.1.a) signed by the Agreement Officer is the authorizing document that will be provided to the successful applicant to inform the applicant of its selection to be further considered to negotiate a cooperative agreement. USAID will provide this Notice electronically to the person designated to receive this information in the application.

Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b.

2. DEVIATIONS

No deviations are currently contemplated to the standard provisions for the cooperative agreement contemplated by this RFA.

3. GENERAL INFORMATION ON REPORTING REQUIREMENTS

The following reports and related requirements will be included in the cooperative agreement issued as a result of this RFA: a) Monitoring and Evaluation Plan; b) Annual Implementation Plans; c. Quarterly Progress Reports; d) Final Agreement Completion Report; e) Miscellaneous Documents. and f) Mid-term Evaluation

A. Monitoring and Evaluation Plan

The recipient is required to have a monitoring and evaluation plan showing how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Methods for mid-term and end of program evaluations.
- Reports to provide activity managers with valid internal assessments of the recipient's activities and interventions.

The performance monitoring plan must address the issues set forth above and is due 60 days after award of the cooperative agreement contemplated by this RFA. It must be approved in writing by the Agreement Officer's Technical Representative. Any modifications to the performance monitoring plan must be submitted in writing to the Agreement Officer's Technical Representative and approved in writing by the Agreement Officer's Technical Representative.

In order to facilitate the documentation of actual future improvements, baseline values of existing conditions need to be established. The recipient will work closely with USAID to develop an M&E plan that will include baseline surveys for future impact evaluations.

B. Annual Implementation Plans

The recipient will submit annual implementation plans by country and region to the Agreement Officer's Technical Representative (AOTR). The recipient will provide an illustrative annual implementation plan for the first fiscal year of the Cooperative Agreement, which will be finalized in consultation with USAID during the first 30 days following the awarding of the agreement. Subsequent 12-month implementation plans through the end of the agreement will be prepared on a

12-month fiscal year basis (October 1 – September 30) and submitted to the AOTR not later than 30 days before the close of each preceding fiscal year, e.g. August 31. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOTR.

1. Contents

The implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but shall be cross-referenced with the applicable sections in the agreement Program Description.

All implementation plan activities must be within the scope of the agreement. Implementation plan activities shall not alter the agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the implementation plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedent over the implementation plan.

2. Distribution

Copies of the final implementation plans will be distributed as follows: one copy to the AOTR, and one copy to the Agreement Officer.

3. Revisions

In the event that revisions to the annual implementation plans are necessary, the recipient shall submit a revised implementation plan or a modification to the implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOTR in writing.

C. Quarterly Progress Reports

The recipient shall submit quarterly performance reports to USAID AOTR to reflect results and activities of each preceding quarter. Reports are to be submitted within 10 days of the end of each quarter that is, Dec 31, March 31, June 30, and September 30 as follows: one copy to the AOTR and one copy to the Agreement Officer. These reports will be used by USAID to fulfill electronic reporting requirements to MOH, USAID/Washington and the Office of the Global AIDS Coordinator (OGAC); consequently, they need to conform to certain requirements.

The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the annual implementation plan for that quarter. The reports shall also describe the accomplishments of the recipient and the progress made during the past quarter and shall include information on all activities, both ongoing and completed during that quarter. The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

D. Quarterly Financial Reports

The recipient shall submit to the USAID AOTR a quarterly financial report within 30 days after the end of the recipient's first fiscal year quarter, and quarterly thereafter.

Quarterly financial reports should contain, at a minimum:

- Total funds awarded to date by USAID into the agreement;
- Total funds previously reported as expended by the line items specified in the Award Budget in the Agreement;
- Total funds expended in the current quarter by the recipient by the main line items;
- Total funds expended in the current quarter by country under the award;
- Total un-liquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Reporting of expended funds to the level identified and in the same format as the applicants' cost application; and
- Any other financial information necessary as specified by the AOTR necessary to carry out the responsibilities assigned to the AOTR.

E. Annual/Semi-Annual Performance Reports (APR & S/APR)

Twice yearly, the recipient will be required to prepare and submit performance reports reflecting more detailed data on achievements and targets for each country under the award. USAID will provide electronic formats in order to access data needed. Due dates for these reports are on or about May 1st and October 31st.

F. Final Agreement Completion Report

The recipient shall prepare and submit three copies of a final/completion report to the AOTR which summarizes the accomplishments of this agreement by country, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The report shall be submitted no later than 90 days following the estimated completion date of the agreement.

G. Miscellaneous Documents

The Recipient shall prepare and disseminate, as directed in the annual implementation plan and by the Agreement Officer's Technical Representative [AOTR], other reports and deliverables needed to accomplish the purpose of this agreement.

H. Mid-term Program Evaluation

USAID anticipates a formal external mid-term review of the program to inform any follow-on activity. The successful applicant shall prepare for and participate in a program review on/around April/May 2013. USAID will procure and fund independent consultant services to lead the review under a separate mechanism.

4. ENVIRONMENTAL COMPLIANCE

A. General

1. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's

environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Request for Applications.

2. In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
3. No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

B. Compliance with the IEE

An Initial Environmental Examination (IEE) has been approved for the Activity funding the cooperative agreement expected as a result of this RFA. The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that categorical exclusion applies to one or more of the proposed activities. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this cooperative agreement. Applicants can access the approved IEE for USAID/RHAP activities on grants.gov which is posted as part of the RFA package.

C. Implementation Plans

1. As part of its initial Implementation plan, and all Annual Implementation plans thereafter, the recipient in collaboration with the USAID AOTR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
2. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
3. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5. **USAID DISABILITY POLICY**

The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative

agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

[END OF PROVISION]

SECTION VII – AGENCY CONTACTS**The Administrative Agreement Officer for this Award is:**

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The Acquisition and Assistance Specialists for this Award are:

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SECTION VIII – OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted.

The following additional information is provided in this Section:

1. BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an apparently successful applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) Submission. The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the

American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

Presumptive Exception exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements. The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Technical Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the

basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

3. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS **(December 2005)**

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or sub-agreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

(11) The recipient will provide the Agreement Officer’s Technical Representative (AOTR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

- (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer's Technical Representative. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
 - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.
 - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
 - (4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
 - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.
- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

4. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010) Assistance Provisions – Non-Governmental Organizations (NGOs) and Non-Exempt Public International Organizations (PIOs) [AAPD 05-04 Amendment 3 April 13, 2010]

- (a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of

the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or postexposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

(b)(2) The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

(b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

- (i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;
- (ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
- (iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

(c) The following definitions apply for purposes of this provision:

“Commercial sex act” means any sex act on account of which anything of value is given to or received by any person.

“Prostitution” means procuring or providing any commercial sex act and the “practice of prostitution” has the same meaning.

“Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

(e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

ATTACHMENTS

The following attachments and annexes are provided:

1. SF-424 Forms;
 2. Certifications, Assurances and Other Statements;
-
1. The SF-424 forms referenced in Section IV.2 above can be found at:
http://www.grants.gov/agencies/aapproved_standard_forms.jsp
 2. USAID/RHAP Initial Environmental Examination (IEE) – posted on www.grants.gov with this RFA.

**USAID/Southern Africa Request for Applications (RFA) No. 674-11-0004
Lesotho HIV Prevention among Youth and Adults Program**

**CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF
THE RECIPIENT**

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

**1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS
GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED
PROGRAMS**

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the

date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been

engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub national groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, and (3) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No.	_____
Application No.	_____
Date of Application	_____
Name of Recipient	_____
Typed Name and Title	_____
Signature	_____
Date	_____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART IV - OTHER STATEMENTS OF RECIPIENT**1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			
<hr/>			

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an Applicant is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) **Nonexpendable Property.** If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) **Source, Origin, and Componentry of Goods.** If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	GOODS	PROBABLE	GOODS
PROBABLE					
(Generic)	UNIT COST	COMPONENTS	SOURCE	COMPONENTS	ORIGIN

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	INTENDED USE ORIGIN
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SLUPPIER	NATIONALITY RATIONALE
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(Non-US Only) for NON-US

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of

_____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]

[END OF RFA 674-11-0004]